

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 7-2005)

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

56283/DBP/F349

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/553,525

INTERNATIONAL APPLICATION NO.
PCT/JP04/05324INTERNATIONAL FILING DATE
14 April 2004PRIORITY DATE CLAIMED
02 May 2003

TITLE OF INVENTION

ACTIVE ANTISEPTIC WATER OR ACTIVE ANTISEPTIC WATER-BASED FLUID, AND PRODUCTION METHOD AND APPARATUS FOR THE SAME (as amended)

APPLICANT(S) FOR DO/EO/US
Ryushin OMASA

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application ~~XXXX~~ (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☒ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV 810529103 US**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5) 10/553,525	INTERNATIONAL APPLICATION NO. PCT/JP04/05324	ATTORNEY'S DOCKET NUMBER 56283/DBP/F349
23. Other items or information: See Attachment A		
The following fees have been submitted:		CALCULATIONS PTO USE
24. <input type="checkbox"/> Basic national fee \$300		\$ \$0.00
25. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). \$0 All other situations. \$200		\$ \$0.00
26. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). ... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority. \$100 International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB. \$400 All other situations. \$500		\$ \$0.00
TOTAL OF 24, 25 and 26 =		\$ \$0.00
<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.		
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)
128 - 100 =	28 /50 =	1
x \$250.00		\$ \$250.00
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).		\$
CLAIMS	NUMBER FILED	NUMBER EXTRA
Total claims	See Attachment B - 20 =	0
x \$50.00		\$ \$600.00
Independent claims	See Attachment B - 3 =	0
x \$200.00		\$ \$2,200.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00		\$ \$0.00
TOTAL OF ABOVE CALCULATIONS =		\$ \$3,050.00
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		\$ \$1,525.00
SUBTOTAL =		\$ \$1,525.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$ \$0.00
TOTAL NATIONAL FEE =		\$ \$1,525.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +		\$ \$0.00
TOTAL FEES ENCLOSED =		\$ \$1,525.00
01 FC:2681 125.00 OP 02 FC:2615 300.00 OP 03 FC:2614 1100.00 OP		Amount to be \$ Amount to be \$

01/04/2007

01 FC:2681
02 FC:2615
03 FC:2614

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☒ A check in the amount of \$ \$1,525.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-1728. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Customer No. 23363
D. Bruce Prout
CHRISTIE, PARKER & HALE, LLP
P. O. Box 7068
Pasadena, CA 91109-7068

D. Bruce Prout
SIGNATURE

D. Bruce Prout

NAME

20,958

REGISTRATION NUMBER

December 29, 2006

DATE

Attachment A

- 1. Copy of Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office**
- 2. Transmittal Letter for Supplemental Preliminary Amendment (Attachment B);**
- 3. Petition to Reset Mailing Date of Notification of Missing Requirements;**
- 4. Declaration of Vickie D. Wall, including copy of Notification of Missing Requirements received December 1,2006**
- 5. Declaration of Daniel Ferris including copy of Weekly Prosecution Calendar dated 09/30/2006 to 10/15/2006;**
- 6. 30 Sheets of Drawings (Figs 1-44); and**
- 7. Verified Statement (Declaration) Claiming Small Entity Status - Small Business Concern**

COPY

-copy

DBP



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/553,525	Ryushin Omasa	56283/DBP/F349

23363
 CHRISTIE, PARKER & HALE, LLP
 PO BOX 7068
 PASADENA, CA 91109-7068

INTERNATIONAL APPLICATION NO.	
PCT/JP04/05324	
I.A. FILING DATE	PRIORITY DATE
04/14/2004	05/02/2003

RECEIVED

DEC 01 2006

Christie, Parker & Hale, LLP

Date Mailed: 08/02/2006

CONFIRMATION NO. 3001
 371 FORMALITIES LETTER



OC000000019847280

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 10/24/2005
- Copy of the International Search Report filed on 10/24/2005
- Preliminary Amendments filed on 10/24/2005
- Information Disclosure Statements filed on 10/24/2005
- Oath or Declaration filed on 10/24/2005
- Small Entity Statement filed on 10/24/2005
- Request for Immediate Examination filed on 10/24/2005
- U.S. Basic National Fees filed on 10/24/2005
- Priority Documents filed on 10/24/2005
- Drawings filed on 10/24/2005

F349:
 56283
 CASE # 56283 ACTION Response Due
 REMINDER 1-2-07 DUE DATE 1-2-07 + EXT.
 DEADLINE 1-2-07

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English. Note a processing fee will be required if submitted later than 30 months from the priority date.
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$-605 for a Small Entity:

(A previous payment of \$605 will be applied to the additional fees indicated above.)

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

PATRICIA A BOOKER

Telephone: (703) 308-9140 EXT 204

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/553,525	PCT/JP04/05324	56283/DBP/F349

FORM PCT/DO/EO/905 (371 Formalities Notice)